



# Vandenberg Air Force Base Records Management (RM) Training

*(This Presentation is used for Initial and Refresher RM)*  
*3 August 2001*

**30 CS/SCBR, Mr. Jiles, Records Manager & Ms. Rojas Records Custodian**

**(Mandatory Read)**

## **AFI 33-322, Records Management Program**

Failure to observe the prohibitions and mandatory provisions of this instruction in paragraph 3.2.1 by military personnel is a violation of **Article 92, Uniform Code of Military Justice**. Similarly, failure to observe the prohibitions and mandatory provisions of this instruction in paragraph 3.2.1 by civilian employees may result in **administrative disciplinary action** under applicable civilian personnel instructions w/o regard to otherwise applicable criminal or civilian sanctions for violations of related laws.

**This directives governs the Air Force Records  
Management program.**

# **Introduction To Base Records Management**

**Base Records Management (30 CS/SCBR) is located in Bldg 9340 (357 6th Street), Vandenberg AFB; 30 CS/SCBR, Duty Phone: DSN 276-4212, Commercial (805) 606-4212 or 606-8398/Fax: DSN 276-0261, Commercial (805) 606-0261.**

**Base Records Management oversee the following:**

- (a) Base Records Management Program,**
- (b) Base Records Destruction Facility (Bldg 7423), and**
- (c) Base Records Staging Area (Bldg 7425).**

**Base Records Management does not handle the Air Force Freedom of Information Act (FOIA) and Privacy Act (PA) programs for Vandenberg AFB. Pls contact 30 CS/SCX, 6-7006.**

**(THERE'S A 26-QUESTION QUIZ AFTER RM TRAINING)**

# **What's on the RM Agenda for Training**

- Base Records Management (RM) responsibilities.
- Where does Records Management start.
- What's a Functional Area Records Manager (FARM).
- Who appoint them.
- What are FARM Responsibilities.
- What's a Records Custodian (RC).
- What are RC Responsibilities.
- Why you need a file plan.
- Types of Air Force Records.
- What are Vital Records (VR).
- Records Management Directives.
- How to select the correct Records Series.
- Base File plan approval process.
- Staging Records . **(SO TAKE GOOD NOTES!)**

# **Records Overview**

**Records play a vital role in managing and operating Air Force Activities.**

**They serve as the memory of the organization, a record of past events, and the basis for future actions.**

**Air Force units at all levels must document their organization, function, and activities and preserve their records by implementing effective life-cycle management procedures within their areas of responsibility. (You will see this statement again)**

## **RM Vocabulary**

- **Functional Area Records Manager (FARM).**
- **Records Custodian (RC).**
- **Chief of An Office of Record (COR).**
- **Decision Logic Tables (DLTs) or Tables and Rules.**
- **Air Force Manual (AFMAN).**
- **Air Force Instruction (AFI).**
- **Current Files (Which are Active & Inactive Records).**
- **Vandenberg Electronic Publications Library (VEPDL).**
- **Records Information Management System (RIMS).**

# **Base Records Management Responsibilities**

**Provide customer service and train Chief of Office of Records (CORs), Functional Area Records Managers (FARMs), and Records Custodians (RCs) in a classroom setting and/or computer based training on the Vandenberg Electronic Publications Distribution Library (VEPDL).**

**Supports nearly of 200 offices of record and Det 1, 345th Training Squadron at Point Hueneme Naval Air Station, California.**

**Performs staff assistance visits and establishes a cohesive plan to help manage, protect, and dispose of official records.**

**Manages the Base Staging Area and oversee the Base Destruction Facility for destroying classified and sensitive materials and provides one-on-one training when required.**

## **Base Staging Area**

**Base Records Management provides and manages the Base Staging Area to ensure Privacy Act (PA) and For Official Use Only (FOUO) records are stored, destroyed, and access restricted to individuals who do not meet access requirements IAW DoDD 5400.7, *DoD Freedom of Information Act (FOIA) Program*, and AFI 33-332, *Air Force Privacy Act Program*.**

**This area is in Bldg 7425 (Next to the Base Mailroom)**



## **Base Destruction Facility**

**Base Records Management oversee the Base Destruction for destroying classified and sensitive materials and provides one-on-one training when applicable IAW 30 SWI 31-105, *Base Destruction Facility*. A point of contact memorandum is required to to use this facility and it takes two people at all times to operate the Base Destruction Facility.**

**This facility is in Bldg 7423.**

# **Where Does Records Management Start??**

**IAW AFI 33-322, para 8, the Chief of an Office of Record (COR) is responsible for physical and legal custody of all records the office creates or receives, regardless of their physical characteristics, including identifying appropriate disposition authorities for records the office maintains according to AFI 37-138, *Records Disposition--Procedures and Responsibilities*, and AFMAN 37-139, *Records Disposition Schedule*.**

**Make sure Records Custodians attend records management training. The COR briefs the RC on office functions to include the reason why the office keeps records.**

**Each military head must economically and efficiently manage the agency's records.**

***“Records Management starts with the COR!”***

# Records Management Personnel

IAW AFI 33-322 para 7; Each base-level unit, principal staff office within an Air Force organization, or contractor, is required to appoint a Functional Area Records Manager (FARM) in writing. *Normally* this type of appointment is made by the Chief of an Office of Records (COR). **(NOTE: The COR is the highest ranking person in the office)**

One or more FARMS may be required based on: Span of Control, the Complexities of the Mission, and the Size of the Organization's Functional Areas.

The FARM serves as POC for and monitors the RM program of their respective unit or functional area and serves as liaison with Base Records Management.

# **Functional Area Records Manager (FARM)**

**IAW AFI 33-322, para 7.1; Guides and assists Chief of an Office of Record (COR) and Records Custodians (RCs) in maintaining and disposing of records.**

**Assists CORs in preparing files maintenance and disposition plans.**

**Ensures each office of records receives a staff assistance visit (SAV) at least once every 24 months.**

**Ensures offices of record promptly retire eligible records and maintain accountability of such records.**

**Schedules training for personnel who maintain and dispose of records, as required.**

## **Records Custodian (RC)**

**IAW AFI 33-322, para 9; Maintains the office file plan and accountability for active and inactive records.**

**Makes sure eligible records are promptly and properly prepared to retire or transfer.**

**Must be proficient on the equipment used for storing the records and retrieving the information from the files.**

**Knows and implements the records maintenance, use, and disposition policies and procedures for records maintained.**

**Adjusts office records maintenance practices to provide accurate and effective reference service to the users of the records.**

**Consults w/COR, and when necessary w/FARM, on problems that affect creating, maintaining, using, and disposing of records.**

## When Is a File Plan Established?

**IAW AFI 33-322, para 1.3; Air Force units at all levels must document their organization, function, and activities and preserve their records by implementing effective life-cycle management procedures within their areas of responsibility.**

**This usually happens when an office has been newly assigned, reactivated, or merged with another activity. But can happen anytime the COR directs.** When a plan is needed, the COR determines the series to maintain and the associated disposition instructions. After then RCs can proceed to prepare a file plan.

**In addition to the mission series an office will likely have, there are three series (admin files/specific files) common to all functional areas in the Air Force:**

**Transitory Material  
Office Administrative Files  
General Correspondences**

**T 037-11, R 04.00  
T 037-14, R 01.00  
T 037-11, R 02.00**

## **What Are the Specific Files?**

**Transitory Material:** These records are short-term records that an office maintains for 3 months or less. They do not contain procedural or policy matters. They do involve routine transactions, and may consist of transmittal memorandums or forms; requests for routine info, publications, or supplies; communications correcting reports; or other minor corrections to records.

**Office Administrative Files:** This file consists of records that relate to the internal administration or housekeeping activities of the office (i.e., staffing procedures, expenditure of funds, including budget papers, supplies, services, and equipment requests and receipts).

**General Correspondences:** Are records relating to the mission or function for which the office exists. This may be originals and copies of communications, memorandums, and related documents.

# **File Coding**

**IAW AFMAN 37-123, para 4.1.1: “Mark records for file by using the word “*file*” and the proper official’s initials. Mark for file and file code in the upper right hand corner of the record.**

**Documents that obviously are ready for filing as soon as you create or receive them do not require the file code, the word “*file*” or the official’s initials.**

## **EXAMPLES:**

- Suspense copies of a mail control form.**
- Memoranda for record prepared for file only.**
- Signed receipts for a classified document loaned or transferred.**
- Document placed in the library-type accumulations for reference use, such as reference copies of publications; copies of messages placed in message reference files.**
- Historical research and reference materials maintained by historians.”**



# **Types of Records**

**Official Records**: Include all books, papers, maps, photographs, machine-readable materials, x-rays, or other documentary materials, regardless of physical form or characteristics, created or received by an agency of the United States Government.

**Vital Records (VR)**: The Federal vital records program includes two basic categories: emergency records and rights and interest records. **Emergency Operating Records**, which serve the Federal Government if the country is attacked; include records necessary for:

- (a) The military effort.
- (b) The mobilization and protection of material, personnel, services, and systems.
- (c) Maintenance of public health, safety, order and the conduct of civil defense activities.

## **Types of Records (Continued)**

**NOTE: Emergency operating centers must keep these records immediately available. Rights and Interest Records, which uphold the legal rights and interests of individual citizens and their Government, include:**

- (a) Social security records.**
- (b) Retirement records.**
- (c) Payroll records.**
- (d) Insurance records.**
- (e) Valuable research records.**

## **Types of Records (Continued)**

**The Social Security Administration maintains social security records.**

**The Office of Personnel Management maintains civilian retirement records.**

**The Air Force Military Personnel and the Air Force Reserve Personnel Centers send the military personnel retirement records to the National Personnel Center, 9700 Page Avenue, St Louis, MO 63112-5100.**

**The Defense Finance and Accounting Service (DFAS) maintains payrolls records and accompanying insurance records.**

**The office of primary responsibility (OPR) send research records to Federal records centers.**

**The OPRs generally send valuable (permanent) research records to the Washington National Records Center (WNRC).**

## **Types of Records (Continued)**

**The National Archives stores, protects, and maintains rights and interest vital records for agencies desiring more permanent storage of their vital records.**

**Each NARA records center has environmentally controlled space for storing vital records on magnetic tape and photographic films.**

**Offices transfer rights and interest records to a records center by contacting SAF/AAIQ, which decides with Office of Federal Records Centers Operations in Washington DC., which Federal records center receives the records.**

**NOTE: If your office maintains Vital Records complete a Vital Records Index (see next page for example). If your office don't maintain Vital Records (see slide 22).**

# **Sample Vital Records (VR) Index**

## **(30 CS) VITAL RECORDS INDEX FOR (30 CS/SCBR)**

<b><u>FILES SERIES</u></b>	<b><u>TITLE</u></b>	<b><u>BACKUP ADDRESS</u></b>	<b><u>PH</u></b>
T 037-19, R02.01	File Maintenance and Disposition (Electronic)	Server (Bldg 1200)	6-2622
T 037-15, R19.00	Delegations/Designations Server (Bldg 1200) Of Authority And Additional Duty Assignments (Electronic)		6-2622



**JOSEPH L. JILES**  
1 Jan XX

# **No VR Memorandum**

**31 Jan XX**

**MEMORANDUM FOR 30 CS/SCBR**

**FROM: 30 SW/XX**

**SUBJECT: No Vital Records (VRs)**

**This office (squadron/office symbol) does not have any VRs identified on its' file plan therefore this office of record maintains no VRs.**

**(Signature of Chief of Office of Record)**

**1st Ind, 30 CS/SCBR**

**MEMORANDUM FOR 30 SW/XX**

**Concur/Non-concur**

**(Signature of Base Records Manager)**

## **Types of Records (Continued)**

**Personal Papers**: Papers of private or nonofficial character, which pertain only to an individual's affairs should be filed s-e-p-a-r-a-t-e-l-y from official records.

**Permanent Records**: Permanent records include those that the Archivist of the United States decides have enduring value because:

- They document the organization and functions of the Air Force.
- They contain significant information on persons, things (such as historic buildings or manufactured objects), places, events, problems, and conditions with which the Air Force has dealt.

## **Types of Records (Continued)**

**Temporary Records**: Any records determined by the Archivist of the United States to have insufficient value to warrant its preservation by the National Archives. These records are disposable after a fixed period of time or after an event and according to disposition schedules in AFMAN 37-139.

**Unscheduled Records** (UR): Unscheduled records are those not disposable under the General Records Schedules:

- Those that have not been approved by National Archives and Records Administration (NARA);
- Those described but not authorized for disposal by NARA because they are on “Disposition Pending” status or NARA has not completed the appraisal.



# **Objectives of the Records Disposition Program**

- \* Retire long-term records (9 years old or older) to authorized Federal records centers.**
- \* Transfer short-term records (less than 9 years old) to authorized local staging areas.**
- \* Dispose of short-term holdings as soon as authorized.**

## **RM Directives** **(Remaining 37-Series)**

**AFMAN 37-123, *Management of Records*: (AFMAN 33-123).** This directive establishes procedures for managing records.

**AFI 37-138, *Records Disposition--Procedures and Responsibilities*, Table 3.1 (AFI 33-338).** This directive list program objectives and responsibilities, and guides personnel in disposing of special types of records, retiring or transferring records using staging areas, and retrieving information from inactive records.

**AFMAN 37-139, *Records Disposition Schedule* (AFMAN 33-339).** This instruction states what to do with files after their retention period). This manual consists of the Decision Logic Tables (DLTs) for the destruction, retirement, salvage, and/or transfer of Air Force records. **(NOTE: Use the Records Disposition Schedule that is in the RIMS V2.1)**

# **AFI 37-138, Table 3.1**

## **Retention and Retirement Standards for Active Air Force**

Before implementing the Records Information Management System (RIMS) know how cutoff instructions work. Use this table that consist of (5) columns:

**Column A:** Shows the total retention period.

**Column B:** Covers the organizational level, either HQ Air Force, below HQ Air Force or any Air Force activity.

**Column C:** Indicates when to cutoff records based on retention period in Column A. This column tells you when the records may be taken out of the active files.

**Column D:** Tells you how long to keep the record in an inactive status after it is removed from the active files.

**Column E:** Tells you what to do with the records once the time frame in Column D is completed.

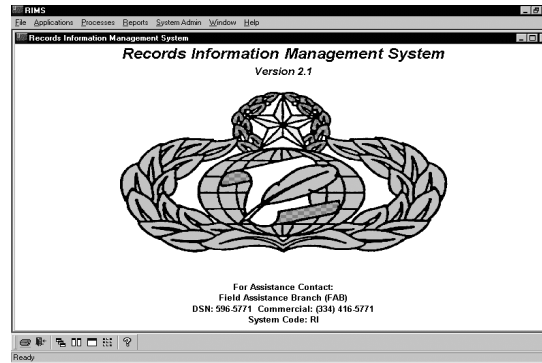
## **Review AFI 37-138, Table 3.1**

**See the Vandenberg Electronic Publications Distribution Library (VEPDL) to review AFI 37-138, Table 3.1.**

## **Applying Correct Cutoff Dates**

**When a cutoff generally reads destroy after 1 year or 2 years, or when no longer needed whichever is sooner, the correct cutoff is “31 Dec” or “30 Sep” and not “NA.”**

# Records Information Management System (RIMS)



Website: <http://www.afca.scott.af.mil/eim/rims.htm>

**RIMS is a stand-alone software system designed to enhance records management and record keeping. RIMS supports 300 base level RMs w/their 48,000 offices of records. RIMS is used at the office of record level to enable FARMs and RCs prepare file plans and associated records reports.**

# Decision Logic Tables

The DLT consists of four (4) columns with headings designated as A, B, C, and D in AFMAN 37-139. NOTE: Knowing your governing directive(s) will help you correctly find your records series.

Column A: Provides a general description of the documentation. To identify your particular series, read down the column until you come to the category you are looking for.

Column B: This column further describes the documentation identified in Column A. These descriptions also cover general categories of forms and reports. Determine what portions of the description apply to your situation.

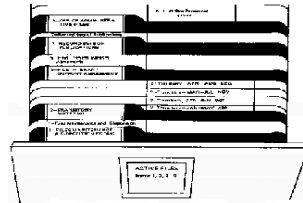
Column C: Primarily indicates an organization, level of command, or specific function. If none is indicated, it applies to all!

Column D: Provides for final disposition of records based on conditions in columns A, B, C, and D. In some cases column D may refer you to another table and rule. If so, cite that reference on your file plan and disposition control label. This column tells you what to do with records after retention.

## **Review AFMAN 37-139**

**See the Vandenberg Electronic Publications Distribution Library (VEPDL) website page to review DLTs in AFMAN 37-139.**

## **Example of a “Healthy File Drawer”** **(Clearly Labeled)**



**IAW AFMAN 37-123, para 3.7.6; Drawer Label.** Include enough Information on the drawer label to identify the records kept in the Drawer. The words “ACTIVE” and “INACTIVE” may suffice for Small files. When the files expand to more than one drawer, add the inclusive series numbers from the file plan on drawer labels (Figure 3.1).



# **Base File Plan Approval Process**

**Proof read your file plan to ensure tables and rules (DLTs) apply to your functional level and that cutoff dates are entered correctly in RIMS.**

**Download file plan from RIMS V2.1 to a floppy diskette and give to FARM for unit-level approval in RIMS.**

**Ensure COR signs file plan cover sheet with unit FARM's approval in RIMS.**

**Send hard copy file plan and floppy diskette (or E-mail) to Base Records Management (Bldg 9340).**

**Only print your disposition control and file folder labels in RIMS when you have received your *approved* file plan from Base Records Management.**

## **Records Staging**

**SF 135, *Records Transmittal and Receipt*, and SF 135a, are used to stage Air Force records. Items 1, 2, 3, and 5 are self-explanatory. Specific instructions for Item 6 are on the reverse side of SF 135. Accession #s on this form are entered in three parts, consisting of:**

### **Column**

**(a) The National Archives and Records Administration (NARA) record group number is (342).**

**(b) The last two digits of the current fiscal year (FY 01); and**

**(c) A four digit number (0001) obtained in advance from the BRM, (arrangements may be made w/the RM to have these numbers assigned by the agency records officers).**

**(d) *Volume*. Enter the volume in cubic feet of each series of records being transferred (1-99).**

## **Records Staging (Continued)**

(e) **Agency Box #.** Show the inclusive box number for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin w/carton # 1.) To facilitate control of the records and future reference service, the agency also shall mark each container w/ the assigned accession number prior to shipment.

(f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organization component that created the records when it is other than that shown in item 5.

**NOTE:** To review SF 135 go to the VEPDL web page.

## **Records Staging (Continued)**

**Pack and label all staging containers when you have received your approved SF 135 from Base Records Management.**

**(NOTE: All staging supplies are obtained through the user's supply channel).**

**Call Base Records Management for appointment to transport staging containers to the Base Staging Area (Bldg 7425). (NOTE: User is responsible for transporting staging containers to Bldg 7425 and stacking them on shelves).**

**All staging containers will remain in Vandenberg's Records Staging for a maximum of 8 years.**

**Containers with retention over 8 years are kept for 1 additional year before forwarding to the WNRC or other designated records center. (See notes 4, 7, 8, 9, and 10 in AFI 37-138, Table 3.1 and AFMAN 37-139)**

## **Records Staging (Continued)**

**Use the containers listed below to retire, ship, or transfer Air Force records to a Federal records center, staging area, or other organization (SEE AFI 37-138, CHAPTER 6):**

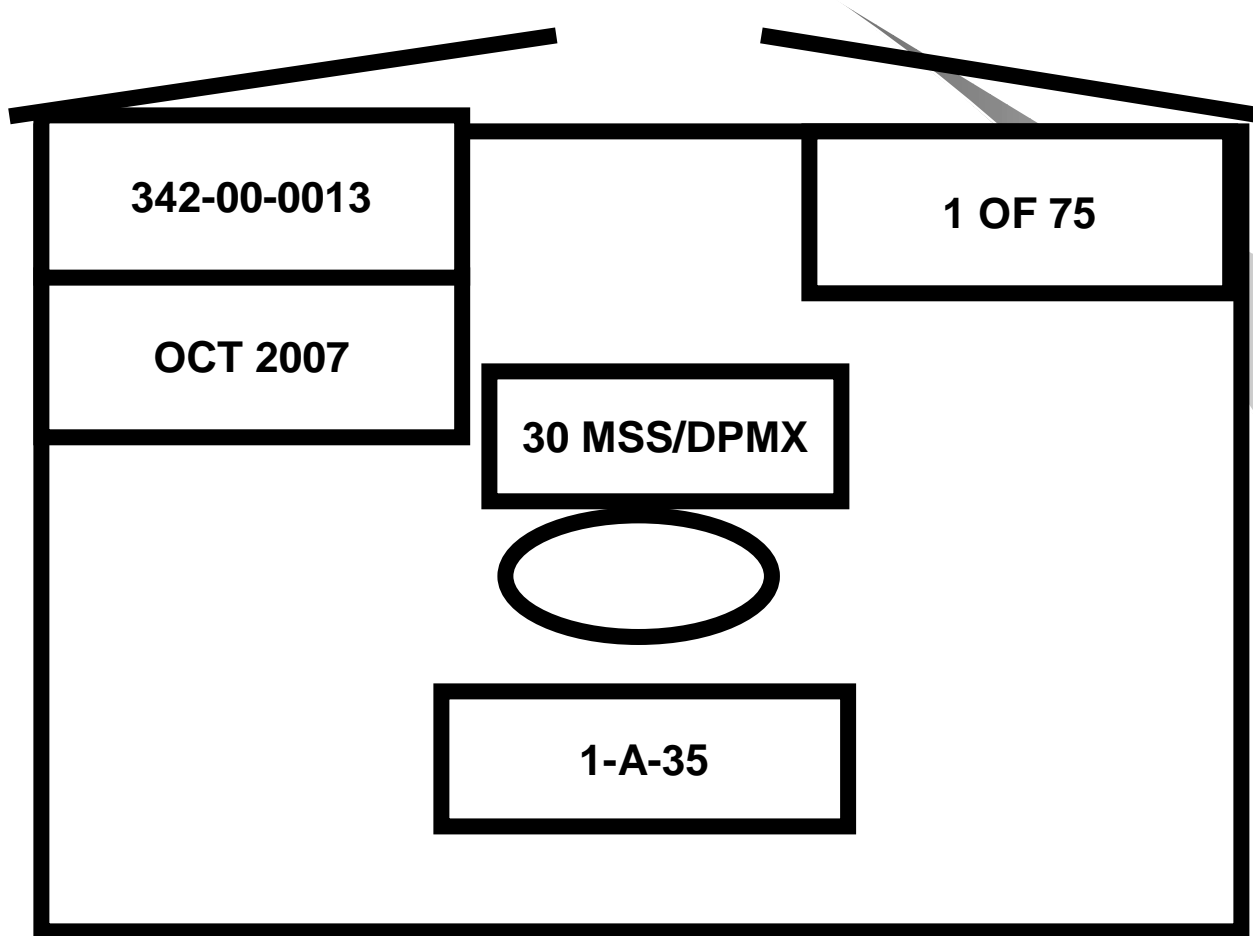
### **STANDARD-SIZE RECORDS BOXES:**

<b>14 <math>\frac{3}{4}</math> by 12 by 9 <math>\frac{3}{4}</math>-inches (tuck-bottom)</b>	<b>NSN 8115-00-117-8249</b>
<b>14 <math>\frac{3}{4}</math> by 12 by 9 <math>\frac{3}{4}</math>-inches</b>	<b>NSN 8115-00-117-8344</b>
<b>15 by 12 by 10-inches</b>	<b>NSN 8115-00-290-3379</b>

### **SPECIAL-PURPOSE BOXES:**

<b>Half-size boxes</b>	
<b>14 <math>\frac{3}{4}</math> by 9 <math>\frac{3}{4}</math> by 4 <math>\frac{7}{8}</math>-inches</b>	<b>NSN 8115-00-117-8338</b>
<b>Magnetic tape box</b>	
<b>14 <math>\frac{3}{4}</math> by 11 <math>\frac{3}{4}</math> by 11 <math>\frac{3}{4}</math>-inches</b>	<b>NSN 8115-00-117-8347</b>
<b>Microfiche box</b>	
<b>14 <math>\frac{3}{4}</math> by 6 <math>\frac{3}{4}</math> by 4 <math>\frac{3}{4}</math>-inches</b>	<b>NSN 8115-01-025-3254</b>
<b>Microfiche box (archival)</b>	
<b>14 <math>\frac{3}{4}</math> by 6 <math>\frac{3}{4}</math> by 5-inches</b>	<b>NSN 8115-01-132-1932</b>
<b>X-ray box</b>	
<b>18 by 15 by 5 <math>\frac{3}{4}</math>-inches</b>	<b>NSN 8115-00-290-3386</b>

## Example of Staging Container Labeling (5 Labels per Container)



## **Where We Are with Managing Electronic Records?**

- Air Force Communications Agency (AFCA) is setting up a pilot using the AF Portal
- Users will access/store records through the web
- E-mail, office products, profile paper records

# **Until The *Approved* Electronic Record keeping Software is Out; Do This**

Maintain electronic files using guidance from AFMAN 37-123. Use your approved RIMS generated Files Maintenance and Disposition File Plan as the foundation for managing electronic records. (See AFSPCPL 98-002, *Electronic Records Management (ERM)* for electronic records.

## **Procedures:**

- (a) Make sure your RIMS file plan is approved and current.**
- (b) Annotate “Location” column in RIMS file plan to show where official electronic records are.**
- (c) Established electronic files by creating folders or directories and subdirectories on a common drive that reflects the items from the RIMS file plan (don’t create a directory for each item on your file plan—just the electronic ones).**
- (d) Develop a “.txt file in Microsoft Notepad/Word” for each directory and describe the category of records/contents of the directory and their disposition, and (e) Apply basic records management principles to manage electronic files.**



**This concludes VAFB RM Training.**

**Next is a 33-Question RM Quiz and a Customer Survey.**

**(FOR COMPUTER BASED TRAINING, DOUBLE CLICK [HERE](#), PRINT, COMPLETE, AND FORWARD TO BASE RECORDS MGT FOR YOUR AF FORM 1256, *Certificate of Training*)**